

ATTORNEY'S DOCKET NUMBER
106357**TRANSMITTAL LETTER TO THE
UNITED STATES
DESIGNATED/ELECTED OFFICE
(DO/EO/US) CONCERNING A FILING
UNDER 35 U.S.C. 371**U.S. APPLICATION NO.
(if known, sec 37 C.F.R.1.5)

09/601702

INTERNATIONAL APPLICATION NO.
PCT/JP99/00896INTERNATIONAL FILING DATE
February 26, 1999PRIORITY DATE CLAIMED
February 27, 1998TITLE OF INVENTION
APPARATUS AND METHOD FOR RECORDING OPTICAL INFORMATION, APPARATUS AND METHOD FOR REPRODUCING
OPTICAL INFORMATION, APPARATUS FOR RECORDING/REPRODUCING OPTICAL INFORMATION, AND OPTICAL
INFORMATION RECORDING MEDIUMAPPLICANT(S) FOR DO/EO/US
Hideyoshi HORIMAI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
- ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
- a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☒ has been transmitted by the International Bureau.
- c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
- a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
- b. ☐ have been transmitted by the International Bureau.
- c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
- d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☒ A small entity statement.
16. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see P.C.F.R. 1.5) 09/601702		INTERNATIONAL APPLICATION NO. PCT/JP99/00896		ATTORNEY'S DOCKET NUMBER 106337	
--	--	--	--	---------------------------------	--

<p>17. <input type="checkbox"/> The following fees are submitted:</p> <p>Basic National fee (37 CFR 1.492(a)(1)-(5)):</p> <p>Search Report has been prepared by the EPO or JPO.....\$840.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482).....\$670.00</p> <p>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$690.00</p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$970.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4).....\$ 96.00</p> <p style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:20%;">Claims</th> <th style="width:20%;">Number Filed</th> <th style="width:10%;">Number Extra</th> <th style="width:10%;">Rate</th> <th style="width:20%;">Amount</th> <th style="width:10%;"></th> </tr> </thead> <tbody> <tr> <td>Total Claims</td> <td>50 - 20 =</td> <td>30</td> <td>X \$ 18.00</td> <td>\$540</td> <td></td> </tr> <tr> <td>Independent Claims</td> <td>16 - 3 =</td> <td>13</td> <td>X \$ 78.00</td> <td>\$1,014</td> <td></td> </tr> <tr> <td colspan="3">Multiple dependent claim(s)(if applicable)</td> <td>+ \$260.00</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$2,394</td> <td></td> </tr> <tr> <td colspan="4">Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).</td> <td>\$1,197</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL =</td> <td>\$1,197</td> <td></td> </tr> <tr> <td colspan="4">Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL NATIONAL FEE =</td> <td>\$1,197</td> <td></td> </tr> <tr> <td colspan="4"></td> <td style="text-align: right;">Amount to be refunded</td> <td>\$</td> </tr> <tr> <td colspan="4"></td> <td style="text-align: right;">Charged</td> <td>\$</td> </tr> </tbody> </table> <p>a. <input checked="" type="checkbox"/> Check No. <u>110852</u> in the amount of <u>\$1,197</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u>. A duplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO: OLIFF & BERRIDGE, PLC P.O. Box 19928 Alexandria, Virginia 22320</p> <p>JAO:JSA/emb</p> <div style="text-align: right; margin-top: 20px;"> NAME: James A. Oliff REGISTRATION NUMBER: 27,075 NAME: Joel S. Armstrong REGISTRATION NUMBER: 36,430 </div>	Claims	Number Filed	Number Extra	Rate	Amount		Total Claims	50 - 20 =	30	X \$ 18.00	\$540		Independent Claims	16 - 3 =	13	X \$ 78.00	\$1,014		Multiple dependent claim(s)(if applicable)			+ \$260.00	\$		TOTAL OF ABOVE CALCULATIONS =				\$2,394		Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$1,197		SUBTOTAL =				\$1,197		Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).				\$		TOTAL NATIONAL FEE =				\$1,197						Amount to be refunded	\$					Charged	\$
Claims	Number Filed	Number Extra	Rate	Amount																																																														
Total Claims	50 - 20 =	30	X \$ 18.00	\$540																																																														
Independent Claims	16 - 3 =	13	X \$ 78.00	\$1,014																																																														
Multiple dependent claim(s)(if applicable)			+ \$260.00	\$																																																														
TOTAL OF ABOVE CALCULATIONS =				\$2,394																																																														
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$1,197																																																														
SUBTOTAL =				\$1,197																																																														
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).				\$																																																														
TOTAL NATIONAL FEE =				\$1,197																																																														
				Amount to be refunded	\$																																																													
				Charged	\$																																																													